



Practitioner's Docket No.: 782\_193

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Where the application of: Tomohiko SHIBATA, Yukinori NAKAMURA,  
Mitsuhiro TANAKA and Keiichiro ASAI

Ser. No.: 10/004,345

Art Unit: 2813

Filed: November 2, 2001

Examiner: David L. Hogans

Confirmation No.: 3689

For: A METHOD FOR FABRICATING A III-V NITRIDE FILM AND AN  
APPARATUS FOR FABRICATING THE SAME

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

I hereby certify that this paper is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on December 8, 2003 under "EXPRESS MAIL" mailing label number EL 975171017 US

*Elizabeth A. VanAntwerp*  
Elizabeth A. VanAntwerp

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT  
UNDER 37 CFR §1.97(c)

TIME OF TRANSMITTAL OF ACCOMPANYING  
INFORMATION DISCLOSURE STATEMENT

1. The information disclosure statement transmitted herewith is being filed *after* three months of the filing date of this national application or the date of entry of the national stage as set forth in §1.491 in an international application or after the mailing date of the first Office action on the merits, whichever event occurred last but *before* the mailing date of either:

- (1) a final action under §1.113,
- (2) a notice of allowance under §1.311 or
- (3) an Office Action that closes prosecution.

STATEMENT OR SUBMISSION FEE

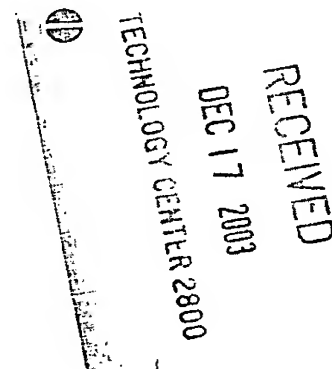
2. Accompanying this transmittal is

A. ☒ a statement as specified in 37 CFR §1.97(e).

OR

B. ☐ the submission fee set forth in 37 CFR §1.17(p) for submission of an information disclosure statement under §1.97(c). (\$180.00).

Fee due: \$ 00.00



**METHOD OF PAYMENT OF FEE**

3. ☐ Attached is a check in the amount of \$\_\_\_\_\_.  
☐ Charge Account No. 50-1446 in the amount of \$\_\_\_\_\_. A duplicate of this request is attached.
4. ☒ If any additional fees are due, please charge Deposit Account 50-1446.

Respectfully submitted,



\_\_\_\_\_  
Kevin C. Brown  
Reg. No. 32,402

December 8, 2003

Date

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*Elizabeth A. VanAntwerp*  
Elizabeth A. VanAntwerp

CERTIFICATION UNDER 37 CFR §1.97(e)

Sir:

- ☒ Each item of information contained in the Information Disclosure Statement filed herewith was *first* cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.

OR

- ☐ No item of information in the Information Disclosure Statement filed herewith was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Respectfully submitted,

December 8, 2003

Date

*Kevin C. Brown*

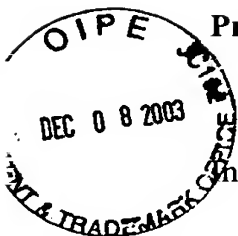
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*Elizabeth A. VanAntwerp*  
Elizabeth A. VanAntwerp

TECHNOLOGY CENTER 2800

DEC 17 2003

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**INFORMATION DISCLOSURE STATEMENT**

Sir:

Pursuant to 37 C.F.R. §1.56, the attention of the Patent and Trademark Office is hereby directed to the references listed on the attached Form PTO-1449. Copies of each of the references listed on Form PTO-1449 are attached.

Also enclosed is a copy of a European Search Report bearing a mailing date of October 7, 2003 from a corresponding European patent application, and the U.S. PTO is directed thereto for a concise statement of possible relevance of the references cited therein.

Japanese Publication No. 10-284425 was previously submitted in an Information Disclosure Statement dated July 23, 2003.

The above information is presented so that the Patent and Trademark Office may, in the first instance, determine any materiality thereof to the claimed invention. It is respectfully requested that the information be expressly considered during the prosecution of

this application, and that these references be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

The Commissioner is hereby authorized to charge any additional fees associated with this communication or credit any overpayment to Deposit Account No. 50-1446.

Respectfully submitted,

December 8, 2003

Date



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Form PTO-1449

US DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

DEC 08 2003

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Complete if Known

Application Number	10/004,345
Filing Date	November 2, 2001
First Named Inventor	Tomohiko SHIBATA
Art Unit	2813
Examiner Name	David L. Hogans
Confirmation No.	3689
Attorney Docket No.	782_193

Sheet 1 of 1

**U.S. PATENT DOCUMENTS**

Exam. Initial		Document Number	Date	Name	Our Docket No.	Class	Sub Class	Filing Date
	AD	5,599,732	02-04-1997	Razeghi				

**U.S. COPENDING APPLICATIONS**

Exam. Initial		Application/ Publication Number	Filing/ Publication Date	Inventor Name	Our Docket No.	Class	Sub Class

**FOREIGN PATENT DOCUMENTS**

		Document Number	Date	Country	Class	Sub Class	Translation	Abstract
	AE	1 160 354 A1	12-05-2001	EP				
	AF	10-067584	03-10-1998	JP			JPO Machine Translation	✓

**OTHER DOCUMENTS**  
(Including Author, Title, Date, Pertinent Pages etc.)


Examiner:

Date Considered:

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.